

RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 23
ELECTRONIC RECORDS

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition conditions listed below:

APPROVED: C. Preston Huff, CRM, STATE RECORDS ADMINISTRATOR

EFFECTIVE SCHEDULE DATE October 1, 1998

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CONDITIONS FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, §§ 42.1-76, et. seq. of the *Code of Virginia* for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the *Certificate of Records Disposal* (Form RM-3). A signed RM-3 must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 must be sent to Library of Virginia (LVA).
4. Any records created before the Constitution of 1902 came into effect (January 1, 1904) must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.
7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, audio-visual, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. All reformatting must be done in accordance with The Library of Virginia Guidelines for Electronic Records and Microfilm and with §§ 17VAC15-20-10, et. seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. Under the *Virginia Public Records Act*, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.

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RECORDS SERIES AND DESCRIPTION

SERIES NUMBER

SCHEDULED RETENTION AND DISPOSITION

This schedule provides for the disposition of electronic records, regardless of format or hardware. Electronic records consist of computer tapes and disks, optical disks, and any other form of magnetic, electronic or digital recordings and their associated programs, documentation, manuals or instructions.

The word "delete" as used in this schedule refers to the electronic erasure or deletion of computer records.

Refer to the Library of Virginia's (LVA) Guidelines for Managing Electronic Records for additional information on the retention, storage and preservation of electronic records.

The Council on Information Management (CIM) issues policies, standards and guidelines for the use of information technology resources, e.g., Information Security, Electronic Commerce, Data Transfer Standards, Local Area Networks and Telecommuting. Their publications are available on-line from their home page (<http://www.state.va.us/cim/council.html>).

Access Control Records

Records documenting access controls to computers, programs, files or computer security areas or records.

100017

Refer to System Management and Control Records, series number 100035.

Computer System Test Records

Documents created solely to test computer, system or program performance.

100018

Delete or destroy when no longer administratively useful.

Electromagnetic Recordings of Meetings

Recordings taken during meetings with the purpose of being transcribed into official minutes of the meetings.

100019

Refer to LVA GS-19, Administrative Records Retention and Disposition Schedule.

Electronic Databases or Spreadsheets - Administrative

Databases or spreadsheets used for internal tracking, report preparation, or other administrative purposes.

100020

Delete or destroy entire file or individual records when no longer administratively useful.

Electronic Databases or Spreadsheets - Functional

Databases or spreadsheets containing information that relates to primary function of the unit.

100021

Retain in accordance with related general schedule. If not listed on records retention and disposition schedule, contact the Records Analysis Section of LVA.

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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Electronic Files Used Solely To Create A Hard Copy Record</u> Electronic files created solely to produce a specific paper or other nonelectronic output, having no value in itself because it is a duplicate.	100022	Delete when no longer administratively useful. These files are defined as "non-records" by the <i>Virginia Public Records Act</i> ; disposal reporting on Form RM-3 not required.
<u>Electronic Indexes or Finding Aids</u> Computer listings used to locate or identify names, files, phone numbers or records. The only value of the file is to locate or identify something else.	100023	Delete or destroy entire file or individual records when replaced or when related records are destroyed.
<u>Electronic Mail - Correspondence</u> Messages, mail, files, or other products sent or received electronically through a computer system, network and/or modem that are substitutes for written correspondence.	100024	Refer to LVA GS-19, <u>Administrative Records Retention and Disposition Schedule</u> .
<u>Electronic Mail - Non-Records</u> Messages, mail, files, or other products sent or received electronically through a computer system, network and/or modem. Includes listserv messages, courtesy copies of messages, non-policy announcements, information-only copies of messages.	100025	Delete when no longer administratively useful. These files are defined as "non-records" by the <i>Virginia Public Records Act</i> ; disposal reporting on Form RM-3 not required.
<u>Electronic Mail - Other Records</u> Messages, mail, files, or other products sent or received electronically through a computer system, network and/or modem that are substitutes for other records.	100026	Retain in accordance with related general schedule. If not listed on records retention and disposition schedule, contact the Records Analysis Section of LVA.
<u>Electronic Records Not Listed on This Schedule</u> Any electronic record, in any format, not specifically listed on this schedule.	100027	Retain in accordance with related general schedule. If not listed on records retention and disposition schedule, contact the Records Analysis Section of LVA.

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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Input Documents - Documents Created Solely for Computer Input</u> Documents created for the sole purpose of entering data into computer databases and spreadsheets. Once the input is verified, these documents are classified as duplicates.	100028	Retain until verified, then destroy. These files are defined as "non-records" by the <i>Virginia Public Records Act</i> ; disposal reporting on Form RM-3 not required.
<u>Input Documents - Original Documents</u> Documents created for purposes other than data entry. Once the input is verified, these documents are classified as copies of record.	100029	Retain in accordance with related general schedule. If not listed on records retention and disposition schedule, contact the Records Analysis Section of LVA.
<u>Master Files and Purges from Master Files</u> Collections of databases or information used to perform a major functional activity; contains primary information.	100030	Retain in accordance with related general schedule. If not listed on records retention and disposition schedule, contact the Records Analysis Section of LVA.
<u>Master File Update Records</u> Work files, transaction files and other documents having no other value than to make changes in master files.	100031	Delete or destroy after verification of master file.
<u>Printouts, Print Files, or Master File Extracts</u> Documents of files containing only information extracted from a master file or database when the original information remains on the master file or database.	100032	Destroy when no longer administratively useful.
<u>Programs, Program Documentation, and Instructions</u> Operating programs, application programs and their supporting documentation. Electronic or paper documents required to enable data entry, maintenance, manipulation or retrieval of information on computers.	100033	Retain until all electronic records created using the programs have been destroyed or converted to another program or format; then delete or destroy.
<u>Security Backup and Recovery Copies of Electronic Records or Programs</u> Copies of master files, databases, spreadsheets or other electronic documents. Includes copies of programs or instructions necessary to retrieve copied information.	100034	Retain off-site until replaced or superseded, then delete. These files are defined as "non-records" by the <i>Virginia Public Records Act</i> ; disposal reporting on Form RM-3 not required.

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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>System Management or Control Records</u> Logs, journals, reports and other supporting paperwork required to operate, manage and control larger computer systems. Records involved solely with the administration of a system.	100035	Delete when no longer administratively useful.
<u>Voice Mail Messages</u> Incoming telephone calls recorded on voice mail systems or answering machines.	100036	Delete when no longer useful. This item is exempt from disposal reporting requirements on Form RM-3.
<u>Web Pages and Related Scripts - Internet and Extranet - Home Pages and Indexes</u> Pages for Web sites which contain no statements of policies, procedures and/or rules not already found in existing printed materials, but which do provide a history of the organization of the site. Refer to Notes 1 and 2 on last page.	100037	Retain superseded pages for ten years, then delete or destroy.
<u>Web Pages and Related Scripts - Internet and Extranet - Duplicate of Another Form of the Document That is Kept Elsewhere as the Copy of Record</u> Web pages that are modified copies of existing print documents. Refer to Notes 1 and 2 on last page.	100038	Retain until next revision, then delete or destroy. This item is exempt from disposal reporting requirements on Form RM-3.
<u>Web Pages and Related Scripts - Internet and Extranet - Original Policy or Procedures</u> Original pages and revisions to pages which issue or change policies, procedures and/or rules that are not found in any other copy of record. Refer to Notes 1 and 2 on last page.	100039	Retain superseded pages or documents permanently.

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<u>Web Pages and Related Scripts - Internet and Extranet - Informational Only</u> Original web pages and revisions to Web pages which do not issue or contain changes to policies, procedures and/or rules (i.e., calendar updates, meeting notices, operating hours, telephone lists, and other public announcements of an informational nature, not involving regulatory hearing bids, contracts or offers). Refer to Notes 1 and 2 on last page.	100040	Retain superseded pages for 2 years, then delete or destroy.
<u>Web Pages and Related Scripts - Intranet</u> Web pages and related computer scripts produced by or for a locality, designed for internal access to information. Refer to Notes 1 and 2 on last page.	100041	Delete when no longer useful.
<u>Web Pages and Related Scripts - Intranet - Original Policy or Procedures</u> Original pages and revisions to pages which issue or change policies, procedures and/or rules that are not found in any other copy of record. Refer to Notes 1 and 2 on last page.	100042	Retain superseded pages or documents permanently.
<u>Word Processing Files - Record Copies</u> Electronic files from systems designed to serve as the record copy of correspondence, publications or other forms of text-based documents.	100043	Refer to retention period cited for corresponding hard copy record in the related general schedule, then delete.
<u>Word Processing Files - Records Used Solely to Create Hard Copy</u> Electronic copies of correspondence, publications or other forms of text-based documents, when the hard copy is maintained as the copy of record.	100044	Delete when no longer administratively useful. Since these files are defined as "non-records" by the <i>Virginia Public Records Act</i> ; disposal reporting on Form RM-3 not required.

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NOTES:

1. Retention instructions apply to material revisions in text. Revisions which change only formatting, update links, names, addresses or telephone numbers, need not be treated as records. The locality has the option of deciding how to preserve pages for the required length of time listed on this schedule; electronically on-line or off-line, COM or in paper. Additionally, annual snapshots of the Web site may be taken and preserved, off-line. All Web page files except those in series 100037 (Home Pages and Indexes) and 100039 (Original Policies and Procedures) may be destroyed after 2 years.
2. Extranet: Network providing information to a closed set of users outside of and within the local government.
Internet: Network providing information to the public at large.
Intranet: Network providing information to a closed set of users inside local government.